



Filing ID #10026684

FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

Name: Hon. David Cheston Rouzer
Status: Member
State/District: NCo7

FILING INFORMATION

Filing Type: Annual Report
Filing Year: 2018
Filing Date: 06/14/2019

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
1ST GLOBAL RESEARCH & CONSULTING ⇒ Bank Deposit Sweep Program [BA]		\$250,001 - \$500,000	Tax-Deferred		<input checked="" type="checkbox"/>
1ST GLOBAL RESEARCH & CONSULTING ⇒ FIDELITY GOVT MMKT CAPITAL RESERVES CL [IH] DESCRIPTION: Sold on 01/03/2018		None	Tax-Deferred		<input checked="" type="checkbox"/>
1ST GLOBAL RESEARCH & CONSULTING ⇒ First TR Value Line Divid Index Fund [IH] DESCRIPTION: Purchased on 1/03/2018		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
1ST GLOBAL RESEARCH & CONSULTING ⇒ Oppenheimer Inter Diver FD Clas [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
1ST GLOBAL RESEARCH & CONSULTING ⇒ OPPENHEIMER INTER DIVER FD CLAS A [IH] DESCRIPTION: A portion of this was sold on November 30, 2016 and Vitrus Mid-Cap Core Cl 1 was bought.		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
1ST GLOBAL RESEARCH & CONSULTING ⇒ T Rowe Price Blue Chip Growth Inc. [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
1ST GLOBAL RESEARCH & CONSULTING ⇒ T ROWE PRICE CAP APPRECIATION [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
1ST GLOBAL RESEARCH & CONSULTING ⇒ VANGUARD SMALL CAP STOCK IND TRUST INV [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
1ST GLOBAL RESEARCH & CONSULTING ⇒ Virtus-Mid Cap Core Fund Cl 1 [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This mutual fund was bought on November 30, 2016 from the partial sale of Oppenheimer Inter Diver FD Clas					
AMERICAN FUNDS ⇒ AMERICAN HIGH TRUST [MF]		None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Shares redeemed and rolled over to 1st Global Research & Consulting IRA					
AMERICAN FUNDS ⇒ AMERICAN MUTUAL FUND [MF]		None	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
DESCRIPTION: Shares redeemed and rolled over to 1st Global Research & Consulting IRA					
AMERICAN FUNDS ⇒ CAPITAL INCOME BUILDER [MF]		None	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
DESCRIPTION: Shares redeemed and rolled over to 1st Global Research & Consulting IRA					
AMERICAN FUNDS ⇒ FUNDAMENTAL INVESTORS [MF]		None	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
DESCRIPTION: Shares redeemed and rolled over to 1st Global Research & Consulting IRA					
AMERICAN FUNDS ⇒ Growth Fund [MF]		None	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
DESCRIPTION: Shares redeemed and rolled over to 1st Global Research & Consulting IRA					
AMERICAN FUNDS ⇒ INT'L GROWTH & INCOME [MF]		None	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: Shares redeemed and rolled over to 1st Global Research & Consulting IRA					
AMERICAN FUNDS ⇒ SMALL CAP World Fund [MF]		None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
DESCRIPTION: Shares redeemed and rolled over to 1st Global Research & Consulting IRA					
First Citizens Bank ⇒ Personal Checking Account [BA]		\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Goldman Sachs Bank ⇒ Marcus Savings Account [BA]		\$100,001 - \$250,000	Interest	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
ING DIRECT ⇒ SAVINGS [BA]		None	Interest	None	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
State of NC Defined Benefit Retirement Plan ⇒ Teachers & State Employees Retirement System and Legislative Retirement System Benefits [DB]		Undetermined	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Advanced Micro Devices, Inc. (AMD) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Amazon.com, Inc. (AMZN) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Annaly Capital Management Inc (NLY) [ST]		None	Capital Gains	\$1 - \$200	<input checked="" type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ AT&T Inc. (T) [ST]		None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Boeing Company (BA) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ BRK Inc (BRKK) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Cascadian Therapeutics, Inc. (CASC) [ST]		None	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ CASH [IH]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Mastercard Incorporated (MA) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ NVIDIA Corporation (NVDA) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Oncothyreon Inc. - Common Shares (ONTY) [ST]		None	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This was sold on June 9, 2016 to purchase Cascadian Therapeutics Inc.					
TD WATERHOUSE CLEARING ⇒ Real Estate Select Sector SPDR Fund (XLRE) [ST]		\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This new asset is a spinoff of Select Sector SPDR Trust. No new money was used for this investment.					
TD WATERHOUSE CLEARING ⇒ SELECT SECTOR SPDR TRUST ENERGY SELECT INDEX [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
TD WATERHOUSE CLEARING ⇒ SELECT SECTOR SPDR TRUST FINANCIAL SELECT SECTOR FUND [EF]		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ SPDR GOLD TR GOLD SHS ETF [EF]		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ US PREFERRED STOCK ETF [EF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Visa Inc. (V) [ST]		\$1,001 - \$15,000	Tax-Deferred	None	<input type="checkbox"/>
TD WATERHOUSE CLEARING ⇒ Whole Foods Market, Inc. (WFM) [ST]		\$1 - \$1,000	Tax-Deferred	None	<input type="checkbox"/>

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
1ST GLOBAL RESEARCH & CONSULTING ⇒ Bank Deposit Sweep Program [BA] DESCRIPTION: Rollover cash from sale of all American Funds		12/28/2018	P	\$250,001 - \$500,000	
1ST GLOBAL RESEARCH & CONSULTING ⇒ First TR Value Line Divid Index [MF]		01/3/2018	P	\$1,001 - \$15,000	
AMERICAN FUNDS ⇒ American High-Income Trust [MF] DESCRIPTION: Rollover to Bank Deposit Sweep Program at 1st Global Research & Consulting		12/26/2018	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
AMERICAN FUNDS ⇒ American Mutual Fund [MF] DESCRIPTION: Rolled over to Bank Deposit Sweep Program at 1st Global Research & Consulting		12/26/2018	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
AMERICAN FUNDS ⇒ Capital Income Builder [MF] DESCRIPTION: Rolled over to Bank Deposit Sweep Program at 1st Global Research & Consulting		12/26/2018	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
AMERICAN FUNDS ⇒ Fundamental Investors [MF]		12/26/2018	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
DESCRIPTION: Rolled over to Bank Deposit Sweep Program at 1st Global Research & Consulting					
AMERICAN FUNDS ⇒ Growth Fund [MF]		12/26/2018	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
DESCRIPTION: Rolled over to Bank Deposit Sweep Program at 1st Global Research & Consulting					
AMERICAN FUNDS ⇒ International Growth & Income Fund [MF]		12/26/2018	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
DESCRIPTION: Rolled over to Bank Deposit Sweep Program at 1st Global Research & Consulting					
AMERICAN FUNDS ⇒ Small Cap World Fund [MF]		12/26/2018	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: Rolled over to Bank Deposit Sweep Program at 1st Global Research & Consulting					
Goldman Sachs Bank ⇒ Marcus Savings Account [BA]		07/11/2018	P	\$100,001 - \$250,000	
Goldman Sachs Bank ⇒ Marcus Savings Account [BA]		Monthly	P	\$1,001 - \$15,000	
TD WATERHOUSE CLEARING ⇒ Advanced Micro Devices, Inc. (AMD) [ST]		02/16/2018	P	\$1,001 - \$15,000	
DESCRIPTION: PURCHASED WITH SALE OF US PREFERRED STOCK ETF, CASC, NYL, AND T					
TD WATERHOUSE CLEARING ⇒ Amazon.com, Inc. (AMZN) [ST]		02/16/2018	P	\$1,001 - \$15,000	
DESCRIPTION: PURCHASED WITH SALE OF US PREFERRED STOCK ETF, CASC, NYL, AND T					
TD WATERHOUSE CLEARING ⇒ Annaly Capital Management Inc (NLY) [ST]		02/16/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: PROCEEDS USED TO BUY AMZN, NVDA, BA, MA, AND AMD STOCKS					
TD WATERHOUSE CLEARING ⇒ AT&T Inc. (T) [ST]		02/16/2018	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
DESCRIPTION: PROCEEDS USED TO BUY AMZN, NVDA, BA, MA, AND AMD STOCKS					
TD WATERHOUSE CLEARING ⇒ Boeing Company (BA) [ST]		02/16/2018	P	\$1,001 - \$15,000	
DESCRIPTION: PURCHASED WITH PROCEEDS FROM US PREFERRED STOCK ETF, CASC, NYL, AND T					
TD WATERHOUSE CLEARING ⇒ Mastercard Incorporated (MA) [ST]		02/16/2018	P	\$1,001 - \$15,000	
DESCRIPTION: PURCHASED WITH PROCEEDS FROM US PREFERRED STOCK ETF, CASC, NYL, AND T					

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
TD WATERHOUSE CLEARING ⇒ NVIDIA Corporation (NVDA) [ST]		02/16/2018	P	\$1,001 - \$15,000	
DESCRIPTION: PURCHASED WITH PROCEEDS FROM US PREFERRED STOCK ETF, CASC, NYL, AND T					
TD WATERHOUSE CLEARING ⇒ US PREFERRED STOCK ETF [EF]		02/16/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: PROCEEDS USED TO BUY AMZN, NVDA, BA, MA, AND AMD STOCKS					

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SCHEDULE C: EARNED INCOME

None disclosed.

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
	Wells Fargo	March 2016	mortgage on home in Benson, NC	\$100,001 - \$250,000
COMMENTS: This mortgage was paid off with the sale of the home in May of 2018. No property was purchased with the proceeds of this sale; therefore there is no new mortgage to be listed.				

SCHEDULE E: POSITIONS

None disclosed.

SCHEDULE F: AGREEMENTS

Date	Parties To	Terms of Agreement
January 2013	MYSELF AND THE STATE OF NC	RETIRED AND FORMER STATE LEGISLATORS HEALTH PLAN
January 2013	MYSELF AND THE STATE OF NC	TEACHERS AND STATE EMPLOYEES RETIREMENT SYSTEM AND LEGISLATIVE RETIREMENT SYSTEM BENEFITS BEGINNING AT AGE 60

SCHEDULE G: GIFTS

None disclosed.

SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

None disclosed.

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

SCHEDULE A AND B ASSET CLASS DETAILS

- 1ST GLOBAL RESEARCH & CONSULTING
- AMERICAN FUNDS
- First Citizens Bank
LOCATION: US
- Goldman Sachs Bank
LOCATION: US
- ING DIRECT
LOCATION: US
- State of NC Defined Benefit Retirement Plan
- TD WATERHOUSE CLEARING

EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

IPO: Did you purchase any shares that were allocated as a part of an Initial Public Offering?

☐ Yes ☒ No

Trusts: Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

☐ Yes ☒ No

Exemption: Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?

☐ Yes ☒ No

CERTIFICATION AND SIGNATURE

☒ I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

Digitally Signed: Hon. David Cheston Rouzer , 06/14/2019